



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Thomas C. Naratil Group Art Unit: 2761
Serial No.: 09/617,853 Examiner: Mary Benton
Filed: July 17, 2000 Docket No. 4797-58
For: **SYSTEM FOR TRADING FIXED INCOME FINANCIAL
INSTRUMENTS: U.S. TREASURY SECURITIES, LIQUID
AGENCIES AND ZERO COUPON STRIPS**

55 Madison Avenue
Morristown, NJ 07960
September 7, 2001

Technology Center 2100

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Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

STATEMENT UNDER 37 C.F.R. §3.73(b)

Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [☒] the assignee of the entire right, title, and interest; or
2. [☐] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
 - A. [☐] an assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

OR

- B. [☐] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:
 1. From: to:
The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.
 2. From: to:
The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

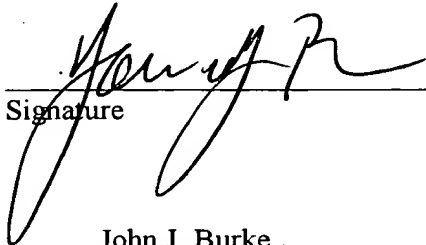
[] Additional documents in the chain of title are listed on a supplemental sheet.

[☒] Copies of assignments or other documents in the chain of title are attached.

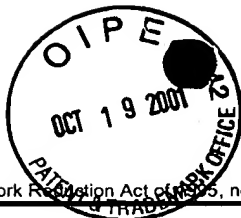
The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01


Signature
John J. Burke
Name

Associate General Counsel
Title



2761
2161

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/617,853

Filing Date July 17, 2000

First Named Inventor Thomas C. Naratil

Group Art Unit 2761

Examiner Name Mary Benton

Total Number of Pages in This Submission 11

Attorney Docket Number 4797-58

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ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
 - ☐ Fee Attached
- ☐ Amendment / Reply
 - ☐ After Final
 - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☒ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
Statement under 37 C.F.R. §3.73(b);
Declaration of ownership pursuant to 37 C.F.R. §2.20; Certificate of amendment from Delaware Secretary of State; Incumbency certificate; Request to change attorney docket number; Return receipt postcard.

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Leslie Gladstone Restaino, Reg. No. 38,893

Signature

Leslie S. Restaino

Date

10/17/2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

October 17, 2001

Typed or printed name

Joyce Sapjeta

Signature

Joyce Sapjeta

Date

10/17/2001

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Washington, D.C. 20231

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REQUEST TO CHANGE ATTORNEY DOCKET NUMBER

Applicants request a change of the attorney docket number in this application
from 4034-22 to 4797-58.

Respectfully submitted,

Leslie Gladstone Restaino
Reg. No. 38,893
Attorney for Applicants
BROWN RAYSMAN MILLSTEIN
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STATE OF DELAWARE
SECRETARY OF STATE
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CERTIFICATE OF AMENDMENT OF CERTIFICATE OF INCORPORATION
OF
PAINEWEBBER INCORPORATED

It is hereby certified that:

1. The name of the corporation (hereinafter called the "corporation") is PaineWebber Incorporated.
2. The certificate of incorporation of the corporation is hereby amended by striking out Article I thereof and by substituting in lieu of said Article I the following new Article I:

ARTICLE I

NAME

The name of the corporation is:

UBS PaineWebber Inc.

3. The amendment of the certificate of incorporation herein certified has been duly adopted and written consent has been given in accordance with the provisions of Sections 141, 228 and 242 of the General Corporation Law of the State of Delaware.

Signed on *march 5, 2001*

By: *Geraldine L. Banyai*
Geraldine L. Banyai, Corporate Vice President

Attest: *Richard P. Borovoy*
Richard P. Borovoy, Assistant Secretary